

Privacy Act Statement. Every registration statement, short form registration statement, supplemental statement, exhibit, amendment, dissemination report, copy of political propaganda or other document or information filed with the Attorney General under this act is a public record open to public examination, inspection and copying during the posted business hours of the Registration Unit in Washington, D.C. One copy is automatically provided to the Secretary of State pursuant to Section 6(b) of the Act, and copies of such documents are routinely made available to other agencies, departments and Congress pursuant to Section 6(c) of the Act. Finally, the Attorney General transmits an annual report to the Congress on the Administration of the Act which lists the names of all agents and the nature, sources and content of the political propaganda disseminated or distributed by them. This report is available to the public.

Public Reporting Burden. Public reporting burden for this collection of information is estimated to average .49 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Chief, Registration Unit, Criminal Division, U.S. Department of Justice, Washington, D.C. 20530; and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

*Furnish this exhibit for EACH foreign principal listed in an initial statement  
and for EACH additional foreign principal acquired subsequently.*

1. Name and address of registrant Gold and Liebengood 1455 Pennsylvania Avenue, N.W., Suite 950, Washington, D.C. 20004		2. Registration No. 3700
3. Name of foreign principal AFIN CASA DE BOLSA, S.A. DE C.V.	4. Principal address of foreign principal Periferico Sur 4355 Jardines en la Montana Mexico, D.F. 14210, MEXICO	

5. Indicate whether your foreign principal is one of the following type:

- ☐ Foreign government
- ☐ Foreign political party
- ☒ Foreign or ☐ domestic organization: If either, check one of the following:

- |   |  |
|---|--|
| <input type="checkbox"/> Partnership            | <input type="checkbox"/> Committee             |
| <input checked="" type="checkbox"/> Corporation | <input type="checkbox"/> Voluntary group       |
| <input type="checkbox"/> Association            | <input type="checkbox"/> Other (specify) _____ |

☐ Individual—State his nationality \_\_\_\_\_

6. If the foreign principal is a foreign government, state:

- a) Branch or agency represented by the registrant.
- b) Name and title of official with whom registrant deals.

N/A

7. If the foreign principal is a foreign political party, state:

- a) Principal address
- b) Name and title of official with whom registrant deals.
- c) Principal aim

N/A

8. If the foreign principal is not a foreign government or a foreign political party,

a) State the nature of the business or activity of this foreign principal

Financial Services.

b) Is this foreign principal

Owned by a foreign government, foreign political party, or other foreign principal ..... Yes ☒ No ☐

Directed by a foreign government, foreign political party, or other foreign principal ..... Yes ☐ No ☒

Controlled by a foreign government, foreign political party, or other foreign principal ..... Yes ☐ No ☒

Financed by a foreign government, foreign political party, or other foreign principal ..... Yes ☐ No ☒

Subsidized in whole by a foreign government, foreign political party, or other foreign principal ..... Yes ☐ No ☒

Subsidized in part by a foreign government, foreign political party, or other foreign principal ..... Yes ☐ No ☒

9. Explain fully all items answered "Yes" in Item 8(b). (If additional space is needed, a full insert page may be used.)

The parent company of AFIN, Grupo Financiero Banorte, is currently 7% owned by the Government of Mexico; this is a temporary situation until the bank is fully paid for.

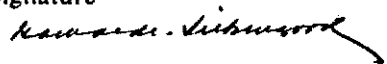
10. If the foreign principal is an organization and is not owned or controlled by a foreign government, foreign political party or other foreign principal, state who owns and controls it.

Grupo Financiero Banorte is owned and controlled by: Mr. Roberto Gonzales Barrera

Grupo Financiero Banorte

Zaragoza 920 - 3rd Piso

Col. Sur Centro, Monterrey, N.L. 64000

Date of Exhibit A October 12, 1993	Name and Title Howard S. Liebengood Vice President	Signature 
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**INSTRUCTIONS:** A registrant must furnish as an Exhibit B copies of each written agreement and the terms and conditions of each oral agreement with his foreign principal, including all modifications of such agreements; or, where no contract exists, a full statement of all the circumstances by reason of which the registrant is acting as an agent of a foreign principal. This form shall be filed in triplicate for each foreign principal named in the registration statement and must be signed by or on behalf of the registrant.

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Name of Registrant	Name of Foreign Principal
Gold and Liebengood	AFIN CASA DE BOLSA, S.A. DE C.V.

Check Appropriate Boxes:

1. ☐ The agreement between the registrant and the above-named foreign principal is a formal written contract. If this box is checked, attach three copies of the contract to this exhibit.
2. ☒ There is no formal written contract between the registrant and foreign principal. The agreement with the above-named foreign principal has resulted from an exchange of correspondence. If this box is checked, attach three copies of all pertinent correspondence, including a copy of any initial proposal which has been adopted by reference in such correspondence.
3. ☐ The agreement or understanding between the registrant and the foreign principal is the result of neither a formal written contract nor an exchange of correspondence between the parties. If this box is checked, give a complete description below of the terms and conditions of the oral agreement or understanding, its duration, the fees and the expenses, if any, to be received.

4. Describe fully the nature and method of performance of the above indicated agreement or understanding.

General consultation and advice concerning matters of foreign trade and financial services.

5. Describe fully the activities the registrant engages in or proposes to engage in on behalf of the above foreign principal.

Advice and analysis regarding legislative and regulatory activities which impact on the professional interests of the client.

6. Will the activities on behalf of the above foreign principal include political activities as defined in Section 1(o) of the Act?<sup>1</sup>  
Yes ☒ No ☐

If yes, describe all such political activities indicating, among other things, the relations, interests or policies to be influenced together with the means to be employed to achieve this purpose.

The registrant may, in the course of its representation of AFIN CASA DE BOLSA, S.A. de C.V., deem it necessary to communicate with Congressional Members and staff on matters of particular interest and concern to the client. This may include sending printed materials, position papers, or other such information to those individuals.

Date of Exhibit B	Name and Title	Signature
October 12, 1993	Howard S. Liebengood Vice President	<i>Howard S. Liebengood</i>

<sup>1</sup>Political activity as defined in Section 1(o) of the Act means the dissemination of political propaganda and any other activity which the person engaging therein believes will, or which he intends to, prevail upon, indoctrinate, convert, induce, persuade, or in any other way influence any agency or official of the Government of the United States or any section of the public within the United States with reference to formulating, adopting, or changing the domestic or foreign policies of the United States or with reference to the political or public interests, policies, or relations of a government of a foreign country or a foreign political party.

GOLD &amp; LIEBENGGOOD

Fax: (202) 3476903

Oct 4 '93 18:10 P.02

GOLD AND LIEBENGGOOD  
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WASHINGTON, D. C. 20004  
(202) 639-8895  
FAX (202) 639-8872

October 1, 1993

Ing. J. Alejandro Alvarez Figueroa  
Dirección General  
AFIN Casa de Bolsa, S.A. de C.V.  
Periférico Sur 4355  
14210 México, D.F.

Dear Alejandro:

It was a pleasure to speak with you again this week. Gold and Liebengood looks forward to working with you and your colleagues on matters of interest and concern to your company and your clients.

As we have discussed, effective today Gold and Liebengood will begin providing AFIN with the full range of legislative and regulatory consultation services. This will include tracking legislative and regulatory issues at the direction of AFIN; providing detailed political/legislative analysis; and providing regular written and verbal reports on the identified issues to AFIN.

Until such time as AFIN and Gold and Liebengood deem it appropriate and mutually advantageous to review this relationship, the aforementioned services will be compensated under a fixed retainer in the amount of U.S. \$3,900.00 per month, payable in U.S. dollars by wire transfer arrangement. This amount is inclusive of telephone, tele-facsimile, printing, mail, overnight shipping, and other such ordinary expenses.

I appreciate your confidence in the capabilities of Gold and Liebengood. My colleagues and I look forward to a long and mutually beneficial relationship with your firm.

With warm regards.

Sincerely,



Mark J. Robertson

Signed and Agreed

  
Ing. J. Alejandro Alvarez Figueroa